



**Little Optics, Inc.**

9020 Junction Drive, Annapolis Junction, MD 20701 • tel: 301-604-7668 • fax: 301-604-8286



Application Number: 10/684899  
Filing Date: 10-09-2003  
First Named Inventor: Brent E. Little  
Application Title: Integrated Optical Mode Shape Transformer and Method of Fabrication

### **Information Disclosure Statement**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir/Madam:

Attached is a completed Form PTO/SB/08(A&B) and copies of the pertinent parts of the references cited thereon.

Very Respectfully,

Brent E. Little



PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031  
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Substitute for form 1449A/PTO

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

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**Complete if Known**

**Application Number**

10/684899

**Filing Date**

19/09/03

**First Named Inventor**

## Art I Unit

**Examiner Name**

Brent E. Little

10 of 10

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10-22

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## U. S. PATENT DOCUMENTS

## FOREIGN PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)			
		PCT/US01/41142	01-17-2002		
		PCT/US02/10416	05-30-2003		

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>					<i>Application Number</i>	10/684899
					<i>Filing Date</i>	10/09/03
					<i>First Named Inventor</i>	Brent E. Little
					<i>Art Unit</i>	
					<i>Examiner Name</i>	
					<i>Attorney Docket Number</i>	L0-22
(Use as many sheets as necessary)					Sheet	\ of \

## NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. 1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
SP		<p>Y. SHANI, "Efficient coupling of a semiconductor laser to an optical fiber by means of a tapered waveguide on silicon", <i>Applied Physics Letters</i> Vol.55, No. 23, pp. 2384-2391, 1989</p>	
		<p>T. BRENNER et al, "Integrated optical modeshape adapters in InGaAsP/InP for efficient fiber-to-waveguide coupling", <i>IEEE Photonics Tech. Lett.</i> Vol 5, No. 9, pp. 1053-1056, 1993</p>	
		<p>R. ZENGELER et al, "Laterally tapered InP-InGaAsP waveguides for low loss chip-to-fiber buttcoupling: a comparison of different configurations" <i>IEEE Photonics Tech. Lett.</i>, Vol 7, No. 5, pp. 532-534, 1995</p>	
		<p>B. PANMAN et al, "Improved laser-fiber coupling by using a spot-size transformer", <i>IEEE Photonics Technology Lett.</i>, Vol 8, No 4, pp. 557-559, 1996</p>	
		<p>G. VAWTER et al, "Tapered rib adiabatic following fiber couplers in etched GaAs materials for monolithic spot size transformation", <i>IEEE J. Selected Topics Quantum Elect.</i>, Vol 3, No. 6, pp. 1361-1371, 1997</p>	
		<p>I. MOERMAN et al, "A review on Fabrication technologies for the monolithic integration of tapers with III-V semiconductor devices", <i>IEEE J. Selected Topics Quantum Elect.</i>, Vol 3, No. 6, pp. 1308-1320, 1997.</p>	

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